

Missouri State Library
Office of the Secretary of State

Library Services & Technology Act
Federal Grant Program

Retrospective Conversion

Grant Application

Fall 2004

**Missouri Five-Year State Plan
For the Use of
Library Services and Technology Act (LSTA) Funds
Fiscal Years 2003 - 2008**

Definitions:

- A. A public library is a library established and maintained under the provisions of the library laws or other laws of the state related to libraries, primarily supported by public funds and designed to serve the general public.
- B. A public elementary school or secondary school library is a library controlled and operated by publicly supported elementary or secondary schools, and designated to serve faculty and students of that school.
- C. An academic library is a library which is controlled and operated by a two (2) or four (4) year college or university, either publicly supported or private, and which is designated primarily to serve faculty and students of that college or university.
- D. A special library is a library established by an organization and designed to serve the special needs of its employees or clientele. A special library must have an appropriately trained librarian, an organized collection, a minimum of 20 hours of service per week, with some opportunity allowed for service to the public or a strong commitment to resource sharing. They include both private libraries and publicly funded libraries, such as those serving mental health facilities, correctional institutions, and government agencies.
- E. A library consortium is any local, statewide, regional, interstate, or international cooperative association of library entities which provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers, for improved services for the clientele of such library entities.

Reprinted from State Plan submitted July 31, 2002

**Missouri State Library
LSTA Retrospective Conversion Grants
Information & Guidelines
Fall 2004**

What is this grant program?

This grant program provides funding for public libraries eligible to receive state aid and to academic and special libraries to carry out retrospective conversion projects.

The State Library is currently funding a program to promote resource sharing among Missouri libraries – “Show-Me The World.” As part of this effort, grants for retrospective conversion of library records are being offered to help make collections more accessible, both to local patrons and library users statewide. This grant program funds conversion of library records in various formats to the USMARC standard and makes these records available both for inclusion in the library’s local online catalog and in the Missouri Group Catalog, a subset of the OCLC WorldCat database.

Who may apply?

- Public libraries that currently receive state aid.
- Academic or Special libraries that meet the definitions in the *Missouri Five-Year State Plan for the Use of Library Services and Technology Act (LSTA) Funds*. A copy of the definitions is posted at:
<http://www.sos.mo.gov/library/development/grants/define.asp>

What amount of funds may be requested?

There is no limit on the amount of funds that may be requested. The State Library may decide to award a grant request in full or in part subject to funding availability and program priorities.

Are local matching funds required?

A twenty-five percent (25%) match is required for equipment purchases, including but not limited to computer workstations, servers and printers.

How may the grant funds be used?

- To contract with a vendor for conversion of catalog cards or other paper bibliographic records to USMARC format, or for batchload matching of search keys or brief bibliographic records against a MARC database.
- To hire outside personnel to weed and inventory the collection to be converted

To hire outside personnel to input search keys or produce brief bibliographic records for batchload matching against a MARC database.

- To acquire a desktop or laptop computer to be used in the above activities

Note: A library may use grant funds to pay an existing part-time employee for extra hours to plan and implement the grant project, or a library with limited staffing may hire a qualified individual at an hourly rate to plan and implement the project. Grant funds may **not** be used to compensate a full-time staff member for time spent on the grant project.

Ineligible expenses:

- Subscriptions to bibliographic databases.
- Installation charges, equipment training fees, extended warranties and service contracts, furnishings, signage, coin-operated devices on equipment, vehicles, and other items that may be deemed ineligible by the Missouri State Library.
- On-going operating costs, such as monthly Internet Service Provider (ISP) fees.
- Equipment for new facilities that are less than 75% complete at the time of application.
- LSTA grant funds may not be used for administrative overhead.
- 'In-house' original cataloging or copy-cataloging projects are not eligible under this grant program.

Requirements:

For all libraries:

- Library agrees to participate in the Missouri Group Catalog project by providing bibliographic records in USMARC format and following procedures for the retrospective and ongoing addition of these records to the OCLC WorldCat database.
- The grantee must be willing to participate in statistical information gathering and other surveys to measure the effectiveness of this project.
- The grantee must be able to provide documentation of output measures such as searches done on a project database or web page.
- The Library agrees to maintain records of expenses as required by the State Library to and preserve records for audit.

For Academic Libraries only:

- Libraries must belong to the MOBIUS consortium.

For Public Libraries only:

- Library receives, or is eligible to receive, state aid.
- Library provides or agrees to provide interlibrary loan services (both borrowing and lending) to patrons and other Missouri Libraries via the OCLC Interlibrary Loan subsystem.
- Library provides or agrees to provide public access via FirstSearch to the Missouri Group Catalog.
- Library participates in or has applied for participation in the REAL project, or has an Internet connection.
- Library provides a minimum of 20 hours of service to the community at each service point (excluding bookmobiles).
- Library has, or will develop, a written technology plan.
- Library agrees to file the statistical report form supplied by the State Library.

What are the priorities for fundable projects?

The following are key elements in designing a project that will receive priority for funding under this program:

- **Importance of the collection.** The proposal must demonstrate the unique nature of the materials to be processed and what value or benefit will accrue to the citizens of Missouri and other patrons by making them available via OCLC's WorldCat and the Missouri Group Catalog. It is important to demonstrate what demand exists for these collections already.
- **Project Description:** Clarity and completeness of project description; choice of appropriate methods to accomplish project.
- **Staffing:** Capacity and capability of library staff to accomplish project.
- **Timeline:** Ability to finish project in projected timetable.
- **Budget:** Appropriateness of budget to project description

How long is the grant period?

The **project period** will be for 12 months, from **January 1, 2005 through December 31, 2005**. All grant funds must be encumbered by January 15, 2006.

What is the review process?

- To be eligible for review, applications must be **postmarked by October 4, 2004, or hand-delivered by 5:00 pm October 5, 2004**.

- Only complete applications from eligible libraries and their partners will be reviewed.
- The State Librarian will review all recommendations from staff and the committees and make the final recommendation for grant awards to the Secretary of State.
- A list of funded applications may be posted to the State Library's web site (at URL <http://www.sos.state.mo.us/library/development/grants.asp>) in January 2005, after the grantees have been individually contacted.
- Grant funds may be encumbered or expended only after the grant agreement is fully executed and signed by the grantee, the State Librarian, and the Executive Deputy Secretary of State.

Grant program timeline:

October 4, 2004	Applications due (postmark date)
October 5, 2004	Applications due (hand delivered)
January 1, 2005	Beginning of grant period.
December 31, 2005	End of grant period: all funds must be encumbered by January 15, 2006.
January 31, 2006	Final report due to State Library: all funds should be spent.

Where do I apply?

Mail completed application form to:

Carl Wingo, Library Consultant for
Technology & Bibliographic Services
Missouri State Library
600 West Main Street, P.O. Box 387
Jefferson City, Missouri 65102-0387

For further information contact:

Carl Wingo, Library Consultant for Technology & Bibliographic Services, Missouri State Library, 600 West Main Street, P.O. Box 387, Jefferson City, Missouri 65102-0387.
Telephone: 573-526-1087 or (in Missouri 800-325-0131, ext. 12).
E-mail: carl.wingo@sos.mo.gov.

MISSOURI STATE LIBRARY
LSTA Retrospective Conversion Grant
Application Instructions
Fall 2004

Please call Carl Wingo, Library Consultant for Technology & Bibliographic Services, Library Development Division, Missouri State Library at 1-800-325-0131, ext. 12, if you have questions about the instructions or the application form.

GENERAL INSTRUCTIONS

- Use the enclosed application form. The application form is not to be changed in any way. Responses should be typed. **Signatures should be in blue ink.**
- The Grant Review Committee will photocopy the application for use. Fill in the applicant library and partnering institution(s) names at the top of each sheet. The application form and instructions may be photocopied as needed.
- Part II—Narrative is to be typed double-spaced on plain sheets, with the applicant library and partnering institutions' names at the top of each sheet. Attach this narrative to the back of the application form. **Please number the pages.**
- Part III—Certification and Signatures must be included or the application will be ineligible for consideration. Please sign in blue ink.
- Failure to give the required information may eliminate your application from consideration.
- Double-check your math in the budget portions. Proofread the proposal. Correct spelling, grammar, and typing mistakes before submission.
- Use white 8-1/2 x 11" paper. Do not use binders, folders, or notebooks.

ITEMIZED INSTRUCTIONS

Part I

Project number — Leave blank.

Name of applicant library — Give the official, legal name of the library and its parent organization. If an archive, museum or historical society is partnering with a library on the grant, the library **must** be listed as the applicant on the application form.

Federal Tax I.D. # or MO Vender # if different—Same as Federal Employee Identification Number (FEIN) or Tax Identification Number (TIN). Make sure this is your Missouri Vender ID number. In some cases, it is different and this is the number we must have to process your application.

Project Director — Give name of person who will oversee the project and serve as a contact for reports. Include project director's email address.

Project Title — Give a brief title for your project.

LSTA funds requested — Show the total amount of grant funds you are requesting. Round to the nearest dollar.

Project Description (Abstract) — In a brief paragraph, clearly and simply describe the proposed project—its purpose, target audience, and activities. Do not exceed the space provided on the form.

Payment Information — List the name and address of the **library** to which grant payments will be sent. In most cases, this will be the institution listed on the first page of the application.

List of participating libraries and institutions — Give a complete list of names, addresses, and phone numbers of all libraries and institutions involved in the project. Signatures of authorized representatives of each partnering institution must be included.

Part II — Narrative

This is the most important part of your application. Attach additional sheets with your responses. Organize your narrative using the numbers and headings shown in the application. Print the applicant library and partnering institution's name in the upper right-hand corner of each additional sheet. Add page numbers. Staple sheets to application form in upper left-hand corner. Do not use binders, folders, or notebooks. Type and double-space.

Budget — The budget should provide an overview of all anticipated project costs from federal and local sources. Round all amounts to the nearest whole dollar. Federal funds may not be used as a match. LSTA funds may not be used for administrative overheads. If local funds will be added to the project, list them in the spaces provided.

- A. Contractual Services — Costs for specific services to be performed by an outside vendor, organization or individual under contract. This could include outsourcing contracts or consultant fees.
- B. Equipment — We do not anticipate libraries using Retrospective Conversion Grants to augment local equipment needs. You may include in this category that equipment which is directly related to the project, such as scanners, digital cameras, and computer equipment. Include only items with a useful life of at least one year and an acquisition cost of more than \$250. Small items of equipment that do not meet this definition should be shown in the “Other” category. **Computers must meet or exceed the minimum specifications listed in the application form.**
- C. Personnel — Any full- or part-time employees hired on a temporary basis to work on-site during the grant project.

- D. Other—Costs of any items that do not fall under the categories above, such as postage, printing, and small equipment costing less than \$500. This may also include supplies such as photographic or computer supplies.

Part III — Signatures

Signature of Library Director — **Part III: Certification and Signatures** of the application must be signed by the administrative head of the applicant library (the library named on the first line of page 1 of the application), i.e., the library director, or other administrator.

Signature of Library Board President—The library board president, school superintendent, or other head of the administrative board of the applicant institution, must sign the application form. If a board does not govern the applicant library, the signature must be from an individual with the authority to oversee and sign legal binding agreements for the applicant library. If you have any questions about this requirement, please call Carl Wingo at (800) 325-0131, ext. 12 for instructions. A signature and date on these lines indicate that the library board or authorizing official approves the intent of the grant and will allow the designated project director to oversee the project.

Rev. 8/02

CIPA COMPLIANCE

In deciding whether to apply for any LSTA-funded grant, libraries should be aware that accepting such a grant might trigger an obligation to comply with the Federal Children's Internet Protection Act (CIPA). Whether CIPA is triggered will depend on the specific use of the LSTA funds awarded and the grant period of the award. If triggered, CIPA will require a grant recipient to certify either that it is undertaking efforts to comply with CIPA or that it has in place a policy of internet safety that includes the operation of a technology protection measure (filter) with respect to any of the recipient's computers with internet access. The nature of the certification depends upon the type of library making application and the grant period of the award.

Checklist

The following checklist may be used to ensure that the application is complete.

General:

_____ The application includes Part I, Payment Information, List of Participating Institutions, Eligibility Requirements, Budget Worksheet, and Part III of the application form supplied by the State Library.

_____ Additional pages are typed (double-spaced) on one side of 8½ x11" sheets, with the applicant institution name in the upper right-hand corner. Pages are numbered.

_____ The complete application is stapled in the upper left-hand corner. Please do not use binders, folders, or notebooks.

_____ The application will be postmarked or hand-delivered by the deadline dates.

_____ The address to which the application is being mailed is correct and complete.

_____ The application has been proofread with mistakes corrected, and is neat, well organized, and easy to read.

Part I:

_____ All lines are filled in.

_____ Project Summary concisely states the main idea of the proposed project.

_____ Budget section is filled in and math is correct.

_____ Project partner information is complete and signatures are attached.

Part II:

_____ Proposal includes complete and detailed answers to all questions.

_____ Answers are numbered to correspond with the questions.

_____ Proposal includes a line-item budget, a narrative budget, and specifications for each piece of equipment requested (if applicable).

_____ Appended materials are camera-ready. Applications are photocopied as they arrive at the State Library. If catalog pages are attached, please cut and paste, or circle in heavy dark lines, ONLY the pictures/descriptions of the equipment you are requesting (if applicable).

Part III:

_____ Application is signed by the appropriate officials.

**MISSOURI STATE LIBRARY
LSTA Retrospective Conversion Grant
Grant Application
Fall 2004**

Project # _____

ATTENTION: YOU MUST USE THIS SHEET AS PAGE 1 OF YOUR APPLICATION!

PART I

Please type.

Name of applicant institution: _____

Federal Tax I.D. # or MO Vender # if different: _____

Address: _____

City: _____ County: _____ Zip code: _____

Phone: _____ Fax: _____

Institution director: _____

Project director (contact person): _____

E-mail address (contact person): _____

Project Title: _____

Total population of library's legal service area: _____

Estimated number of persons to be served by this project: _____

LSTA funds requested: \$ _____

Local funds to be used (if applicable) \$ _____

Project Summary: (Do not exceed space provided)

PAYMENT INFORMATION:

Name and address of library to which payments will be sent (fiscal agent):

Library name: _____

Address: _____

City, State, Zip _____

List of participating institutions — Give a complete list of libraries and other institutions participating in this grant project. Signatures of authorized representatives of each partnering institution must be included. Attach an additional sheet, if needed.

PROJECT PARTNER #1:

Name of institution: _____

Address: _____

Phone number: _____ Fax number: _____

Signature of authorized representative: _____

Typed name & title of representative _____

PROJECT PARTNER #2:

Name of institution: _____

Address: _____

Phone number: _____ Fax number: _____

Signature of authorized representative: _____

Typed name & title of representative _____

PROJECT PARTNER #3:

Name of institution: _____

Address: _____

Phone number: _____ Fax number: _____

Signature of authorized representative: _____

Typed name & title of representative _____

ELIGIBILITY REQUIREMENTS: (indicate yes/no in space in front of each question)

For Public Libraries only:

- _____ 1. Library receives, or is eligible to receive, state aid?
- _____ 2. Library provides or will provide public access via FirstSearch to the Missouri Group Catalog.
- _____ 3. Library provides or will provide interlibrary loan services (both borrowing and lending) to patrons and other Missouri Libraries via the OCLC Interlibrary Loan subsystem.
- _____ 4. Library participates in or has applied for participation in the REAL project, or has an Internet connection?
- _____ 5. Library provides a minimum of 20 hours of service to the community at each service point (excluding bookmobiles).
- _____ 6. Library has, or will develop, a written technology plan.
- _____ 7. Library agrees to file the statistical report form supplied by the State Library.

For all libraries:

- _____ 1. Library agrees to participate in the Missouri Group Catalog project by providing bibliographic records in USMARC format and following procedures for the retrospective and ongoing addition of these records to the OCLC WorldCat database.
- _____ 2. Library agrees to maintain records of expenses as required by the State Librarian and preserve records for audit?

PART II: NARRATIVE

Attach additional sheets with responses to the following items. Include the applicant institution and partnering institution(s) names in the upper right-hand corner of each sheet. Number your responses to correspond with the numbers below. Please type, double space, and number the pages.

1. INTRODUCTION (maximum 1 page)

- i. Introduce the library that will serve as fiscal agent and describe its qualifications as an applicant for funding. Establish its credibility as an agency that can effectively administer a retrospective conversion grant. Give similar background information for all project partners.
- ii. Describe any previous experience with retrospective conversion projects.

2. NARRATIVE DESCRIPTION OF THE PROJECT (you may attach separate pages)

- A. Why do you need a retrospective conversion?
- B. Describe any existing library automation system currently in use.
- C. Describe your staff and their ability to complete this project (include any training, experience, or background they may have that would help with this project).
- D. Give a brief general description of your library's collection, including your priorities in developing the collection, and how you determined them. Describe any special or local interest collections or significant recent additions to the collection. Briefly describe your weeding criteria and schedule.
- E. If you are proposing to convert only a special collection, please describe the scope and significance of the collection. If you are currently automated, why was this collection not converted during the automation project?
- F. What format are your library's records currently in? Do they provide an up-to-date and accurate representation of your current holdings? Give an estimate of the percent of your library's records currently in USMARC format.
- G. Is the collection designated for retrospective conversion either open to public use or available via interlibrary loan?

3. PARTNERING LIBRARIES AND OTHER INSTITUTIONS

Describe in detail the role each project partner will have in this project. Include a brief one- or two-sentence description of each partnering institution, if any.

4. PROJECT ACTION PLAN (IMPLEMENTATION)

Work Plan--Present a detailed, step-by-step work plan, in chronological order, in the form of a **timetable with tentative dates that** describes the activities to be used to complete your project. Include program content, frequency and duration of activities, resources and equipment to be used, personnel involvement, any partners' roles or involvement, and expected completion dates.

5. EVALUATION OF PROJECT

- Describe how you will carry out ongoing monitoring on project progress and quality levels for outsourced work. How will the project be evaluated, what tools of measurement will be used to determine the extent to which the project met its objectives, and who will perform the collection and analysis of evaluation data? Will there be follow-up evaluation after the project is completed?
- Append a sample evaluation form, if one is being used. Tools of measurement include questionnaires, interviews, data or number collection, use of existing data, structured observation, logs to record hit rates on the web site, etc.

6. BUDGET (2 parts)

Part 1 — Line Item. Using the budget worksheet as a guide, include a line-item budget listing the expected expenditures. Round all figures to the nearest whole dollar. Check your math! Include the unit price of each piece of equipment. Explanations and justification of budget items should be given in this section. Specification sheets should be attached with the budget pages.

Sample Budget:

<u>Contractual Services</u>	LSTA	Local	Total
20,000 MARC records from catalog cards @ \$0.85/record	\$17,000	\$0	\$17,000
15,000 MARC records from Excel file match @ \$0.40/record	\$6,000	\$0	\$ 6,000
Authority control: 35,000 records @ \$.35/record	\$12,250	\$0	\$12,250
Barcodes			
De-duping			
<u>Equipment</u>			
1 computer workstation @ \$2,000/ea. (25% local match required on all hardware)	\$1,500	\$500	\$ 2,000
<u>Personnel</u>			
On-site full- or part-time temp. staff: (\$10/hr x 50 hours)	\$500	\$0	\$500
<u>Other</u>			
(Printing supplies, postage, etc.)	\$100	\$0	\$100
TOTALS	\$37,350	\$500	\$37,850

Part 2 — Narrative. Further explain, in narrative form, each line item in the budget. Show that these expenditures are clearly related to your project. If you are requesting funds for equipment, include the specifications and unit price of each piece, and state why these items are not available for project use from the partnering agencies, why they are necessary for the project activities, and where the equipment will be located during the project and after the project is completed. **Note: The applying library retains ownership of the equipment at all times**

Library _____

6. BUDGET WORKSHEET: LSTA Retrospective Conversion Project

	LSTA FUNDS	LOCAL FUNDS	TOTAL
<u>Contractual Services</u>			
<u>Equipment</u>			
<u>Personnel</u>			
<u>Other</u>			
TOTALS			

Computer Minimum Specifications – September 2003	
<i>Computer Workstations</i>	
Processor	2.2 GHz
Memory	512 MB SDRAM
Monitor	17" color
Operating System	Windows 2000 w/ Service Pack 3; Windows XP Professional
Floppy Drive	3.5 inch 1.44 MB diskette drive
CD-ROM	48X Standard CD-ROM, or 12x DVD, or 32X12X48X CDRW
Hard Drive	40GB
Video	4x AGP w/ 32MB RAM
Network Card	10/100 Ethernet network card if you have or plan to implement an Ethernet network
<i>Laptop Computers</i>	
Processor	2.0GHz stepping technology (such as Intel SpeedStep)
Memory	256 MB SDRAM
Monitor	14.1" XGA Color Display
Operating System	Windows 2000 w/ Service Pack 3; Windows XP Professional
Floppy Drive	3.5 inch diskette drive
CD-ROM or DVD	48X Standard CD-ROM, or 12x DVD, or 24X10X24X CDRW
Hard Drive	20GB
Video	4x AGP w/16MB SGRAM graphics video card
Sound	Integrated 16-bit sound card
Network Card	10/100 Ethernet card (Integrated is optional and recommended)
Modem	56K (Integrated is optional and recommended)
Expansion Slots	Two PCMCIA Type II slots
External Ports	NTSC/PAL Output, (2) USB, Parallel, Serial, VGA, PS/2, S/PDIF
Battery	Lithium Ion battery and AC pack
<i>Servers</i>	
Processor	2.2 GHz
Memory	512MB SDRAM
Monitor	15" color
Operating System	Windows 2000 Server w/ service pack 3
Floppy Drive	3.5 inch diskette drive
CD-ROM	48X Standard CD-ROM, or 12x DVD, or 16X10X32X CDRW
Hard Drive	80GB hard drive plus software storage (i.e., GB free hard disk space after all software installations have been made); 5GB system partition (NOS)
Video	32 MB AGP Graphics card 4X
Network Card	10/100 Twisted Pair Ethernet network card if you have or plan to implement an Ethernet network

All computers purchased with LSTA grant funds must meet these minimum specifications established by the Missouri Secretary of State's Office.

PART III: CERTIFICATION AND SIGNATURES:

ATTENTION: You must use Part I, Payment Information, List of Participating Institutions, Eligibility Requirements, Budget Worksheet, and this page as part of your application! To complete this application, attach numbered pages with responses to items in Part II. Part III must be the last page of your application.

We are aware of, and agree to comply with, all state and federal provisions and assurances required under this grant program. If awarded grant funds, we assure that we will carry out the grant project according to the approved grant proposal. The appropriate officials of the applying library have authorized this application. By signing this application, the Library Board President or Authorizing Official acknowledges compliance with and agreement to all eligibility requirements.

Type name of Library Director

Type name of Library Board President
or Authorizing Official

Signature of above official

Signature of above official

Date

Date

Mail completed applications to:

Carl Wingo
Consultant for Technology & Bibliographic Services
LSTA Retrospective Conversion Grants
Missouri State Library
600 W. Main St., P.O. Box 387
Jefferson City, MO 65102-0387

Application deadlines: October 4, 2004 (postmarked) or October 5, 2004 (hand delivered)

For State Library use only:

Approved: _____ Not Approved: _____ Amount Awarded: \$ _____

These grants are made available through funds from the Library Services and Technology Act appropriated by Congress and administered by the Institute of Museum and Library Services and the Missouri Secretary of State.



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES